



University of  
St Andrews

## Grading review

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1.1	Change to review date (moved to 2021)	Published	Lisa Stewart HR	01/12/2020

## Table of contents

1.	Policy statement	3
2.	Overview	3
3.	Grading review and Workforce Planning	3
4.	Principles	3
5.	Grading review process	4
6.	Possible outcomes and effective date of regrading	6
7.	Appeals	6
Appendix A: Head of School/Unit comments form for WPG		8
Appendix B: Role Outline Document (ROD)		10
Appendix C: Overview of Grading Review Process		29
Appendix D: Red-circle process		30

## 1. Policy statement

- 1.1 This policy reflects the University's commitment to reward members of staff in a fair, equitable and consistent manner for the work they are required to undertake and ensures that the principles of equal pay for work of equal value are being implemented.

## 2. Overview

- 2.1 The University recognises that, due to business/institutional needs and requirements, roles can change in terms of demand, responsibility, accountability and complexity. This policy therefore provides a mechanism whereby, following a substantive change in role requirements, the grading of a post can be reviewed.

## 3. Grading review and Workforce Planning

- 3.1 As part of the ongoing review of structures and staffing within the University, all Schools/Units will be required to inform the Principal's Office of proposed staffing changes, including where duties are being moved from one person to another, and where the redistribution may have an impact on grade. Such notification must be given in advance of any permanent change to a role.
- 3.2 As part of the annual planning cycle, all Heads will be asked to inform the Principal's Office of any proposed restructuring within the School/Unit and the implications, if any, this will have on current staff in relation to the duties that they undertake. Along with this, Heads will be asked to confirm any staffing changes that they are aware of as a result of leavers/retirements.
- 3.3 It is accepted that, from time to time, structures may change out with this cycle as a result of staff leaving or areas of responsibility within the School/Unit changing. In these circumstances, approval for any proposed restructuring/changes to staff duties, which may result in regrading, must be agreed with the relevant member of the Principal's Office before any change takes place.
- 3.4 As currently happens, a staff replacement/new post or extension should be submitted to the [Workforce Planning Group](#).
- 3.5 The grading review policy applies to all roles in pay grades 1 to 8, with the exception of academic, research and teaching staff considering promotion to grades 7, 8 or 9 who have access to a separate [Academic Promotions Procedure](#). Please note that grading review procedures for *all* roles are underpinned by the University's chosen job evaluation scheme, Higher Education Role Analysis ([HERA](#)).
- 3.6 This policy has been written in consultation with and agreed by the University's recognised trades unions, UCU, UNISON and UNITE.

## 4. Principles

- 4.1 The grading review process enables roles to be evaluated objectively using the HERA methodology to establish whether role changes (i.e. changes to duties, responsibilities, the requirement to attain new/additional skills and competencies etc.) impact upon the current grading of the post. The process is not about rewarding or evaluating the performance of an individual within a role.

4.2 A request for a grading review may be initiated by the individual undertaking the role (or group of individuals doing directly comparable work) or the Line Manager / Head of School/Unit.

4.3 Role changes should be in line with strategic plans and objectives - the Head of School/Unit will be asked to comment on this in a separate [form](#) (see [Stage 1](#) below).

#### 4.4 **Please note:**

- A grading review request must be based on significant and permanent changes to the role. For temporary changes to roles e.g. to cover maternity leave, long-term sickness etc. please contact an [HR Business Partner](#) for advice.
- A request for a grading review should not be based on how the responsibilities or activities might or will change in the future.
- New appointees to a role should **usually** have been in post for at least 12 months prior to seeking a review of their grading.
- Role changes experienced by staff who have been in post for some time should **usually** be given 6-12 months to bed down prior to submitting a grading review application in order that their full impact on the role can be accurately assessed.
- Roles will only be reviewed once in any 12 month period unless there are exceptional circumstances. Please contact [hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk)/ext 1650 for advice.
- An increase in volume of work will not necessarily result in an increase in job size sufficient to merit a change in grade. Evidence would need to be provided that this increase in volume has resulted in a significant increase in responsibility/accountability.
- Where operational changes/restructuring could result in a role being downgraded, the Head of School/Unit must consult with and seek the necessary guidance from Human Resources before any changes are implemented and the grading review process is initiated. Please contact [hera@st-andrews@ac.uk](mailto:hera@st-andrews@ac.uk)/ext 1650 for advice.
- If a grading review request has been unsuccessful, any subsequent review requests must be based on new role information.
- It is expected that any disagreements relating to the requirements/demands of the role will be resolved at a local level (with input from Human Resources as necessary).

4.5 Applications for grading review can be submitted at any time, but they are acted upon only on a monthly basis (at the end of the last working day of each month). Any grading review application which is received out with the submission deadline will be processed in the next month - no exceptions will be made.

4.6 This policy will be subject to future reviews in consultation with the University's recognised trade unions.

## 5. **Grading review process**

### 5.1 **Stage 1: Completion / submission of documentation**

5.1.1 The Role Holder and/or Line Manager should discuss their intention to submit a grading review application with the Head of School/Unit in the first instance.

5.1.2 Heads of Schools/Units will be expected to have discussed, in advance, with the Principal's Office any reassignments of roles that might lead eventually to a regrading request. A regular opportunity for doing so will be provided in the planning cycle.

- 5.1.3 At least one month before a grading review application is submitted, the Head should complete the [Head of School and Unit Comments Form](#) and submit it along with an up-to-date School/Unit organisational chart to [workforce@st-andrews.ac.uk](mailto:workforce@st-andrews.ac.uk) for review by the [Workforce Planning Group \(WPG\)](#). This Group comprises senior members of the Principal's Office and the Director of Human Resources, and its role in relation to the grading review process is to ensure that changes in duties of the workforce are being strategically planned and co-ordinated. In particular, the WPG will check that any role changes within a School/Unit have previously been part of a planning discussion and any issues/concerns that arise at this stage relating to potential grading changes within a School/Unit will be discussed with the appropriate Head.
- 5.1.4 Once the Head of School/Unit's form has been reviewed by the WPG, the Role Holder may submit a grading review application consisting of a new or amended (ROD) or Record of Evidence (ROE). The Role Outline Document (ROD) is located in [Appendix B](#).
- 5.1.5 Where a ROD or ROE currently exists for a role, the change/s in duties and responsibilities that have taken place since the role was initially analysed should be detailed in this original document (this includes scoring through/markings any activities which are no longer a requirement of the role). **Changes/additions must be clearly marked i.e. highlighted, different coloured/emboldened text etc.** The 'Main Purpose of the Role' section must also be updated to reflect the changes to the role, and the verification section at the end of the form completed and signed. If the role holder does not possess an ROD/ROE for the role or it is difficult to incorporate the changes to the role in the original document, please contact Human Resources ([hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk)/ext 1650).
- 5.1.6 Where no ROD/ROE exists for a role, the role holder is asked to complete, in full, a as part of the review process.
- 5.1.7 The ROD/ROE should be electronically submitted by 5pm on the last day of the month to [hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk). Heads of Schools/Units should also submit the [form](#) and an organisation chart to this address. All forms should be signed, either using an electronic signature or signed and scanned. **If using an electronic signature, the forms must be submitted from the personal University email account of the signatory (i.e. not generic Head of School/Director email accounts).**
- 5.1.8 Whilst electronically completed documents are preferred, papers can also be handwritten if they are legible and are completed in black ink. Handwritten forms should be signed by the Role Holder, line manager and Head of School/Unit and sent to the HERA Team, Human Resources, Old Burgh School by 5pm on the last working day of the month.
- 5.1.9 It is the Role Holder's responsibility to ensure that all documentation is submitted on time. Incomplete or late applications will be held over until the next submission deadline i.e. a month hence.
- 5.1.10 It is expected that role holders will submit their completed ROD/ROE within 6 months of the Workforce Planning Group confirming permission to proceed otherwise a further application to the group from the Head of School/Unit will normally be required. Role holders who have not submitted their form within 4 months will be sent one reminder from Human Resources regarding completing their application.

## 5.2 Stage 2: Grading review

- 5.2.1 Grading review submissions will be subject to review by a panel comprising at least 2 Role Analysts and a representative from the appropriate trade union. (All members of staff involved in role analysis are fully trained in the application of HERA and the grading review process).
- 5.2.2 At this stage, further information/clarification may be sought from the Role Holder/Line Manager.

## 5.3 Stage 3: Notification of outcome

- 5.3.1 Where possible, the outcome of the grading review application will be communicated, in writing, to the Role Holder (with copy to the Line Manager and Head of School/Unit) within 3 months of the last date of the month in which it was submitted e.g. for a submission made during the month of June, the result will be communicated by 30<sup>th</sup> September.
- 5.3.2 All applicants will receive an updated job description based on the 'Main Duties' section of their application.
- 5.3.3 The [Workforce Planning Group](#) and the appropriate trade union will also be notified of all decisions reached by the Grading Review Panel.
- 5.3.4 An overview of the grading review process is shown in [Appendix C](#).

## 6. Possible outcomes and effective date of regrading

- 6.1 The outcome of the grading review request may lead to:
- **The role being 'green-circled'** i.e. it has been established that the current grade for the role is too low. In such circumstances the salary for the role will be uplifted to the minimum pay point of the new grade assigned via the grading review process. The effective date of the salary uplift will be from the day following the applicable submission deadline i.e. the first day of the month following submission.
  - **The role being 'red-circled'** i.e. the current grade for the role is too high. In the minority of cases the University's agreed red-circle policy will be applied (see [Appendix D](#)). Where the red-circle policy is implemented it will be done so with effect from the day following the applicable submission deadline.
  - **The role being evaluated at the same grade.** In such circumstances there will be no change to the grade/salary of the role.
- 6.2 Where the grading of a role has changed as a result of this process, due consideration will be given to the grading of any identical roles elsewhere in the School/Unit.

## 7. Appeals

- 7.1 Appeals must be based on procedural grounds only. Should the role holder believe that there has been a breach in the grading review procedures, as outlined above, they can raise an appeal against the grading decision.
- 7.2 Please note that an appeal cannot be raised on the grounds that the role holder disagrees or is not satisfied with the outcome of the review process. Also, should the responsibilities/demands of the role have changed following the submission of a grading

review request, this information will be considered at a future grading review round, not via the appeals process.

### 7.3 Appeal process

- 7.3.1 Notification that an appeal is being brought must be submitted, in writing to the Director of Human Resources, within **10 working days** of the date specified on the grading review outcome letter.
- 7.3.2 Once notification of the appeal is received, an Appeal Form will be issued to the appellant for completion. The appellant will be asked to state the grounds on which the appeal is being made and provide information to support this. The Appeal Form must be completed and returned to the Director of Human Resources within **15 working days** of date of issue.
- 7.3.3 Normally within 15 working days of receipt of the completed Appeal Form, an Appeal Panel will be convened. The Panel will comprise an executive member of the Office of the Principal (Chair), a Head of School/Unit (unconnected with the appellant) and a representative of the appropriate trade union, none of whom will have been involved in the evaluation of the post.
- 7.3.4 In considering the appeal, the Appeal Panel will review the written submission from the appellant and may request further/supplementary information from the appellant and/or the Grading Review Panel. The Appeal Panel may also request relevant parties to attend a hearing. (Appellants have the right to be accompanied by a representative of the appropriate trade union or a work colleague and may request to appear before the Appeal Panel). The Appeal Panel may also allow adjournments of the hearing if further information is required.
- 7.3.5 The Appeal Panel cannot alter the grade assigned, but it can refer the post back for re-evaluation by another freshly constituted Grading Review Panel, chaired by the Director of Human Resources, if it considers that the process leading to the grading of the post has been flawed and, as such, may have impacted upon the grading of the post.
- 7.3.6 The Appeal Panel's decision will be made by its members with its Chair exercising, if necessary, a casting vote.
- 7.3.7 The Panel will write to the appellant within **7 working days** of the final meeting to advise them of the outcome of the appeal.
- 7.3.8 The decision taken by the Appeal Panel and any second Grading Review Panel will be final.

Version number	Purpose / changes	Document status	Author of changes, role and school / unit	Date
1.0	Migration of policy to the Governance Zone.	Published	Susan Gibson Human Resources.	20/06/2019
1.1	Change of classification from internal to public	Published	Lisa Stewart HR	12/11/2019
1.1	Change to review date (moved to 2021)	Published	Lisa Stewart HR	01/12/2020

## Appendix A: Head of School/Unit comments form for WPG

This form should be completed by the Head of School/Unit in advance of an application being submitted for a grading review. Please note that the role holder should generally have been in post for at least 12 months prior to submission of a grading review application.

**Before completing please refer to Grading review policy.**

Role Holder Details	
Role Holder Name:	
Job Title:	
School/Unit:	
Current Grade:	

Line Manager Details	
Name:	
Job Title:	

**To be completed by the Head of School/Unit**

1. Please list main changes to the role

**Please complete *either* section 2a or 2b.**

<b>2 (a)</b> If the post is <u>internally funded</u> , please detail why the requirements/demands of the role have changed (e.g. restructuring within School/Unit, redeployment of duties, change in business need etc.) and comment on how this fits in with the overall strategic plans and objectives of the School/Unit including any efficiencies made as a result of these changes:
<b>2 (b)</b> If the post is <u>externally funded</u> , please detail why the requirements/demands of the role have changed since the grant application was submitted and comment on how this fits in with the overall strategic plans and objectives of the School/Research Project including any efficiencies made as a result of these changes:

<b>3.</b> Please provide names and job titles of any other individuals doing the same/comparable role within the School/Unit:



4. If necessary, please provide any other information to support the grading review case: (this should not relate to the performance of the role holder):

**Please note that all applications must be discussed with your Principal's Office manager in advance of being submitted.**

I confirm that I have discussed this with [NAME] on [DATE]

Signed:

Date:

#### Return Details

Please forward this form in pdf format or with an electronic signature to [workforce@st-andrews.ac.uk](mailto:workforce@st-andrews.ac.uk) along with an organisational chart complete with staff names and job titles for the section/department to which the role belongs. Please ensure that you retain a copy of the documentation for your own records.

## Appendix B: Role Outline Document (ROD)

### Guidance Notes

HERA (Higher Education Role Analysis) is a tool used to analyse roles found in Higher Education. It creates role profiles and produces a total point score which enables the relative size or value of roles to be determined in a consistent and equitable manner.

HERA is made up of 14 elements which are intended to reflect the values of higher education and the aspects of roles seen as most important.

### The Role Outline Document

This document is intended to capture information about the demands of your role in relation to the 14 HERA elements. When completing this document please be mindful of the following principles of role analysis:

- Role analysis examines the role, **not** the performance of the person carrying out the role.
- The analysis should be based on the role undertaken at the current time, rather than how the role was done previously, or how it may be done in the future.
- The focus is on actual role content rather than any assumptions or perceptions of the role.

The form is made up of 5 main parts:

**PART 1 - General Information:** This is where you provide contact details for yourself and your manager.

**PART 2 - Job Description:** Here you should provide a **brief** description of your role, your principal responsibilities/activities and your key duties. You should also include an organisation chart showing where the role fits into the overall structure.

**PART 3 - Demands of Your Role:** This section forms the main body of the document and is where you will be asked to provide examples and evidence of the demands and responsibilities of your role in relation to the 14 HERA elements. No more than two pages (font size 11) should be submitted for each HERA element with the exception of Element 1: Communication, where two pages can be submitted for both Oral and Written Communication. **Extremely lengthy documents will be returned to the role holder for editing and considered in a subsequent review round.**

**PART 4 - Any Other Relevant Information:** This gives you the chance to provide any other information about your role which you feel is important in describing it fully.

**PART 5 - Verification:** In this section both you and your line manager are asked to verify that the information provided in the document is a true and accurate representation of your role. Here, your Head of School/Unit will also be asked to verify this information, or confirm that they have devolved 'verification' to the designated line manager. **This section must be completed before the document is returned.**

### Return Details

Completed forms should be electronically submitted to [hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk). Please note that all forms should be signed, either using an electronic signature or signed, scanned and submitted from the line manager's or Head of School's/Unit's email account. If you are unable to scan the document, please send the original electronically and a post a signed hard copy to the HERA Team, Human Resources, Old Burgh School.

Whilst electronically completed documents are preferred, the form can also be handwritten. Please ensure that any handwritten submissions are easy to read and are completed in black ink. Handwritten forms should be signed by the role holder, line manager and Head of School/Unit and sent to the HERA Team, Human Resources, Old Burgh School.

## Useful hints, guidance & advice on the completion of the Role Outline Document:

- Please read through the whole document before starting to complete it.
- Before you start to complete the form, you may find it useful to note down what you have done over the last few weeks or keep a diary of your activities over the next few days/weeks.
- All questions should be answered in relation to *your own* role.
- Do not include activities that are not a requirement of the role e.g. trade union participation, first aid duties, activities carried out for personal interest/development.
- Think of activities and responsibilities that are typical of what you do, not just the most recent, rare or extreme cases. Where possible, try to think of different examples for each element.
- It may be helpful to refer to an up-to-date job description when completing this form.
- At first sight, this document may seem quite daunting. It has, however, been developed to cover all staff groups so you may find that certain questions are not applicable to your role. Where this is the case, write 'not applicable' and move on to the next question.
- The spaces provided between each question are not indicative of the amount you should write. Please do not feel you must write copious notes - a summary of your duties/responsibilities and relevant examples/evidence to underpin this information would be sufficient and no single element should exceed two pages in length (font size 11) with the exception of Element 1: Communication where two pages of information can be submitted for both Oral and Written Communication.
- **If a Role Outline Document (ROD) or Record of Evidence (ROE) already exists for your role you may wish to use this as the starting point for your application, cutting and pasting any still relevant information into your new document.** If you are unsure whether a ROD exists for your role (or a comparable role) or you require further guidance on the completion of this document, please contact the HERA Team on ext:1650 or e-mail: [hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk)

This document can be provided in an alternative format if required – please contact the HERA Team on ext 1650 or email [hera@st-andrews.ac.uk](mailto:hera@st-andrews.ac.uk).

## UNIVERSITY OF ST ANDREWS – HERA PROJECT

### ROLE OUTLINE DOCUMENT

Please refer to the accompanying guidance notes before completing this document. This document is made up of 5 parts. Parts 1 – 4 should be completed by the Role Holder; Part 5 should be completed by the Role Holder, Line Manager and Head of School/Unit.

#### **PART 1 – GENERAL INFORMATION**

##### **Role holder contact details**

Name:	
Work Address:	
E-mail Address:	
Contact Phone Number:	

##### **Line manager contact details**

Name:	
Job Title:	
Work Address:	
E-mail Address:	
Contact Phone Number:	

#### **PART 2 – JOB DESCRIPTION**

Job Title:	
School/Unit:	
Reporting to (role):	
Job Family:	
Grade:	

Please briefly describe **(in a few lines)** the main purpose of your role:

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Please list the key responsibilities and/or duties of your role. Where possible, please estimate the percentage of time you spend on each **(to the nearest 10%)**. **This section will form your new job description and should therefore provide a brief overview only as further detail can be provided under individual elements in part 3.**

<b>Main duties / key responsibilities</b>	<b>% time</b>

Please list those occasional tasks/duties that are essential to your role, but may only occur once / a few times in the year e.g. performance reviews, setting budgets, developing/input to operational plans etc

Occasional tasks/duties	Frequency

### Organisation Chart

**Please draw (or attach) a diagram describing how your role fits into the overall structure of your school/unit and which highlights your immediate line manager and any staff who report directly to you.**

## PART 3 – DEMANDS OF YOUR ROLE

This section covers the 14 elements of the HERA scheme, and has been specifically designed to help capture appropriate and relevant role information. Prior to each set of questions you are provided with a description of the element, together with some examples (*these examples are given for guidance only*). There may be questions that are not applicable to your role, if this is the case write 'not applicable' and move onto the next question.

### 1. Communication

This element covers communication through oral, written, electronic or visual means, in both **informal** and **formal** situations. The element is made up of 2 parts – oral communication and written & electronic communication.

**Part 1: Oral Communication** – *Examples*: dealing with telephone enquiries, explaining procedures; conducting interviews, giving presentations or lectures, attending or chairing meetings etc. Signing, using hand signals or using other means of communication with people with disabilities should be included here.

- (a) **Who do you mainly talk to as part of your job and what type of information do you normally exchange?**

- (b) **What is the most demanding/complex type of spoken communication involved in the job?  
What is the frequency of this type of communication?**

**Part 2: Written & Electronic Communication - *Examples:*** responding to requests for information, preparing standard letters/emails, compiling reports, writing minutes of meetings, writing research papers etc. The use of Braille or other kinds of communication tools used by people with disabilities should be included here.

- (a) **Who do you mainly write to as part of your job and what do you write about? Please indicate the format of this communication** i.e. letters (standard or one-off), emails, reports, papers etc.

- (b) **What is the most demanding/complex type of written communication involved in the job?  
What is the frequency of this type of communication?**

## 2. Teamwork and Motivation

This element covers teamwork and team leadership. A team is defined as a number of people (more than 2) who work together to achieve a common purpose. It includes **internal** and **external** teams, teams which are fixed or those that change e.g. research teams, project teams, course development teams etc. One individual may work in several teams. A team is not the same as a network. A network is an interconnecting group of people who exchange information, contact and experience on a recurrent basis for professional purposes connected with the job. Networks are dealt with in Element 3.

(a) **Who is in your main team?**

(b) **What is your role within your main team?** (e.g. providing support/guidance to others, motivating and encouraging, being a role model to less experienced members, allocating work, setting goals/objectives for the team, directing/leading the team etc). **If you have supervisory / line management responsibilities please detail what this involves.**

(c) **What other teams are you a member or leader of?** (e.g. research teams, project teams etc). **Please explain the nature and purpose of these teams and your role within them.**

### 3. Liaison and Networking

This element is about occasions when you are required, *as part of your role*, to liaise with and/or participate in networks with others both within and outside the institution (outside your own work teams). *Liaison* is making contact with an individual, outwith the work team/s, for work related reasons. A *network* is an interconnecting group of people who exchange information, contact and experience on a recurrent basis for professional purposes connected with the job.

- (a) **Who are you required to liaise with (as defined above) in order to fulfil the remit of your role?**

- (b) **What is the purpose of the liaison?** (eg to pass on/receive information, to build mutually beneficial relationships, to influence decisions, to build the University's reputation, etc). **Where the purpose of the liaison is more than passing on/receiving information, please provide examples to underpin your role in and the benefits gained from this relationship.**

- (c) **Are you required to participate in any internal networks as part of your role?** (e.g. cross-institutional groups such as Equal Opportunities Committee, Disability Advisory Group, Safety Committee etc). **If so, please detail (with examples) the nature and purpose of the network and your role within it.**

- (d) **Are you required to participate in any external networks as part of your role?** (e.g. professional bodies, national or international groups such as Royal Society, Scottish Universities Physics Alliance, Classical Association etc). **If so, please detail (with examples) the nature and purpose of the network and your role within it.**



#### 4. Service Delivery

This element covers the help, assistance and service you are required to give to customers. A *customer* is defined as anyone receiving services from you. All members of staff provide a service whether it be to students, potential students, employers, members of the public, industrial and commercial clients, job applicants, visitors and other members of staff within the institution. This may include reacting to requests for information or advice, actively offering or promoting the services of the University to others and setting the overall standards of service offered.

(a) **What service/s do you provide and to whom?**

(b) **Do you usually actively offer the service, or do your customers mainly come to you?**

(c) **How do you find out what the customer wants, and how does this affect the service you provide?**

(d) **Who (e.g. self, line manager, committee) or what (e.g. legislation) determines the overall level of service and its standard, and decides which services will be offered?**

## 5. Decision Making Processes and Outcomes

This element looks at the types of decisions you are involved in, and the impact that these decisions have within the institution and externally. **Decisions relating to planning and prioritising of work will be covered in Planning and Organising Resources.**

*Examples of decisions:* buying low cost items within a local budget; choosing stock from a preferred supplier's list; buying non-routine stock or equipment; admitting a student; allocating overall resource requirements within institution-wide plans; developing a new service; deciding the nature and level of academic qualifications; deciding the future of major research activities.

(a) **What type of decisions do you routinely make by yourself, without recourse to others?**

(b) **What are the highest-level decisions that you make by yourself, and how often do you make these types of decisions?**

(c) **What type of decisions do you routinely make with others (e.g. with your line manager, as a member of a committee/working group etc), and how do you contribute to these decisions?**

(d) **Are you required to give advice or recommendations to others to help them make decisions? If so, please give details.**

## 6. Planning and Organising Resources

This element covers organising, prioritising and planning time and resources, be they human, physical or financial. This may include planning and organising your own work; planning work for others in relation to day-to-day tasks or projects; carrying out operational and strategic planning.

*Examples:* working from a set of instructions or to a set routine; organising a meeting; being responsible for the delivery of a course or programme of study; managing a specific project; setting objectives; setting the budget; academic or resource planning; estates and capital planning.

(a) **Do you work to a given plan/schedule? If so, who sets this plan?**

(b) **What are you required to plan and organise yourself? How far ahead do you plan?**

(c) **Do you plan the work of others (within and/or outside the team)? If so, who do you plan for, what do you plan and how? How far ahead do you plan the work of others?**

(d) **Do you plan the use of other resources? (e.g. accommodation, equipment, staffing, finance etc). If so, what do you plan and how? How far ahead do you plan in this regard?**

## 7. Initiative and Problem Solving

This element considers the way in which you are required to resolve problems *which occur in your role*. This may include using initiative to select from available options; resolving problems where an immediate solution may not be apparent; dealing with complex problems; and anticipating problems which could have a major impact/repercussion.

*Examples of problems:* maintaining equipment; organising temporary cover for absent staff; handling grading, grievance or disciplinary issues; solving IT system failures; developing new guidelines or procedures; identifying potential sources of income; identifying a significant gap in service.

- (a) **Please give details/examples of the typical types of problems that you have to resolve and state how often these problems occur (e.g. weekly, monthly etc).**

- (b) **How do you go about resolving these problems? (e.g. using an instruction manual, following legislation/established procedures, using initiative etc). Please indicate the options/issues you need to take into account, and how you select the best course of action.**

- (c) **Please give details/examples of the most difficult/complex types of problems that you have to resolve and state how often these types of problems occur.**

- (d) **How do you go about resolving these problems? (e.g. established procedures, creative thinking, innovation, etc). Please indicate the options/issues you need to take into account, and how you select the best course of action.**

## 8. Analysis and Research

This element covers investigating issues, analysing information and carrying out research, and is relevant to both **academic** and **non-academic** posts. This may include following standard procedures to gather and analyse data; identifying and designing appropriate methods of research; collating and analysing a range of data from different sources; establishing new methods or models for research; setting the context for research.

- (a) **What information/data are you required to collate, check, investigate, analyse or research for yourself and/or others?** (e.g. stock levels, fact finding, working with spreadsheets, analysing statistics and reporting anomalies, conducting enquiries into complaints/systems failures, recognising/interpreting trends or patterns in data).

- (b) **What data do you have available or need to obtain?**

- (c) **How do you go about sourcing the data/information required or, where applicable, conducting the research/investigation?** (e.g. carrying out literature and database searches, producing graphs or charts, creating/setting up/conducting experiments etc).

- (d) **If applicable, who decides that the investigation or research is needed or would be beneficial?**

### 9. Sensory and Physical Demands

This element covers the sensory and physical aspects of your role. This may include physical effort, co-ordination and dexterity, using aural evidence to assess next actions; applying skilled techniques and co-ordinating sensory information; and high levels of dexterity where precision or accuracy is essential.

- (a) **What tools, equipment, vehicles or machinery are you required to use to undertake your role?** (e.g. keyboard, photocopier, floor polishers, forklift, power tools, scientific equipment etc).

- (b) **What physical effort and/or sensory co-ordination is required in your role?** (e.g. lifting/carrying, moving heavy/awkward or fragile objects, prolonged data inputting, computer programming, watching and monitoring experiments, handling animals, standing/walking for prolonged periods etc).  
**Please specify the frequency of these activities.**

- (c) **Are you required to work in cramped, confined, difficult or awkward positions? If so, please state where, why and how often.**

- (d) **Did you have to undergo any training (on the job or otherwise) to develop the sensory/physical skills needed to carry out your role? If so, please give details.**

## 10. Work Environment

This element concentrates on your working environment, the effect it has on you and your ability to respond to and control that environment safely. This may include such things as the temperature, noise or fumes, the work position and working in an outdoor environment.

- (a) **Where do you normally work?** (e.g. office, lecture room, laboratory, outdoors etc). **If working in more than one location, give an estimate of the % of time spent in each location.**

- (b) **Are you exposed to any health and safety hazards?** (e.g. hazardous chemicals, fumes, slippery floors etc). **If so, what and how often?**

- (c) **Do you have to take any special measures to reduce the risk or control the environment before or while working there?** (e.g. are you required to use any safety equipment/special clothing, conduct risk assessments etc?).

- (d) **Who is responsible for the Health & Safety of people working in your environment?** If it is you, please provide details of your responsibilities.

### 11. Pastoral Care and Welfare

This element is about your responsibility for the care & well-being of students, colleagues, staff and others associated with the institution, in both **informal** and **formal** situations. This may include the need to be aware of the support services available; giving supportive advice and guidance; and counselling others on specific issues such as performance or disciplinary matters etc.

- (a) **As a part of your role, are you approached by others seeking help regarding physical, mental and/or well-being problems?** (e.g. students/colleagues who may be upset/distressed/angry/ill etc). **If so, how often and what are the typical issues or problems?**

- (b) **How do you deal with these welfare issues/problems?** (e.g. by directing the individual to the appropriate support service, by following HR procedures/policies to deal with issues relating to discipline, grievance, harassment, unfair treatment, special leave requests, by referring the individual to an external agency etc).

- (c) **What type of pastoral/welfare problems or issues would you refer to your line manager or others?**



## 12. Team Development

This element is about your role in the development of the skills and knowledge of others in your work team. This may include the induction of new colleagues; coaching and appraising any individuals who are supervised, mentored or managed by you; and giving guidance or advice to your peers or supervisor on specific aspects of work. (*Training those outside the immediate work team should be included under Teaching and Learning Support*).

- (a) **Are you required to undertake inductions/introductions for new starters within your team? If so, how often and what is involved?**

- (b) **Are you required to train, guide or instruct others on specific tasks or activities?** (e.g. explaining the reasons for and how to operate a particular piece of machinery/equipment; showing a colleague how to use a computer-based application, provide training on new procedures etc). **If so, how often and what is involved?**

- (c) **Are you required to identify the learning needs of the team members and decide whether any one individual should receive training and development?** (e.g. required to conduct regular performance reviews, agreeing what needs to be done to satisfy any training or development needs etc). **If so, please give details.**

### 13. Teaching and Learning Support

This element is about your role in the development of the skills and knowledge of students and others who are **not part of your work team**. This may include providing instructions to students or others when they are first using a particular service or working in a particular area; carrying out standard training; providing demonstrations; lecturing and mentoring students and others.

- (a) **Are you required to deliver any teaching, training and/or developmental activities to people out with your team?** (e.g. explaining the use of the library to students, demonstrating how to use a computer terminal, running staff training courses, delivering and assessing a course etc).

**If so, please indicate what teaching/training you provide, to whom, and how it is delivered.**

- (b) **If relevant, what is your area or specialism?**

- (c) **Who designs and develops the course/training content?**

- (d) **How is the effectiveness of the teaching, training or learning support assessed?**

#### **14. Knowledge and Experience**

This element covers the relevant knowledge needed to carry out your role, however acquired, whether this is technical, professional or specialist. Knowledge may be acquired through education or experience.

- (a) **What knowledge, qualifications or experience, however gained, do you need to carry out your basic day-to-day responsibilities?** (e.g. knowledge of food hygiene/operating equipment/software packages, General and National Vocational Qualifications, City & Guilds certificates, professional and academic qualifications etc).

- (b) **How long did it take you to obtain the knowledge/qualification/experience required to undertake your role?**

- (c) **Are you required to update this knowledge and experience? If so, how and how often?**

- (d) **What level of knowledge would be required of your replacement, were you to leave your post?**

## PART 4 – ANY OTHER RELEVANT INFORMATION

Please use this section to provide any other information that you consider to be relevant in considering the content/demands and responsibilities of your role:

*(Expand box as necessary)*

## PART 5 – VERIFICATION

On completion of this document, you, your Line Manager and your Head of School/Unit are required to verify that the information provided represents a true and accurate picture of the requirements of the role. Please ensure that all parties complete the following section:

### Role Holder – please confirm:

The information provided in this document represents a true and accurate picture of my role.

Print name:

Signature:

Date:

### Verifier (line manager) – please confirm:

I verify that the information provided in this document represents a true and accurate picture of the role.

Role title:

Print name:

Signature:

Date:

### Head of School / Unit - please select applicable statement:

I verify that the information provided in this document represents a true and accurate picture of the role

I have delegated authority to the aforementioned Line Manager to verify that the information in this document represents a true and accurate picture of the role.

Print name:

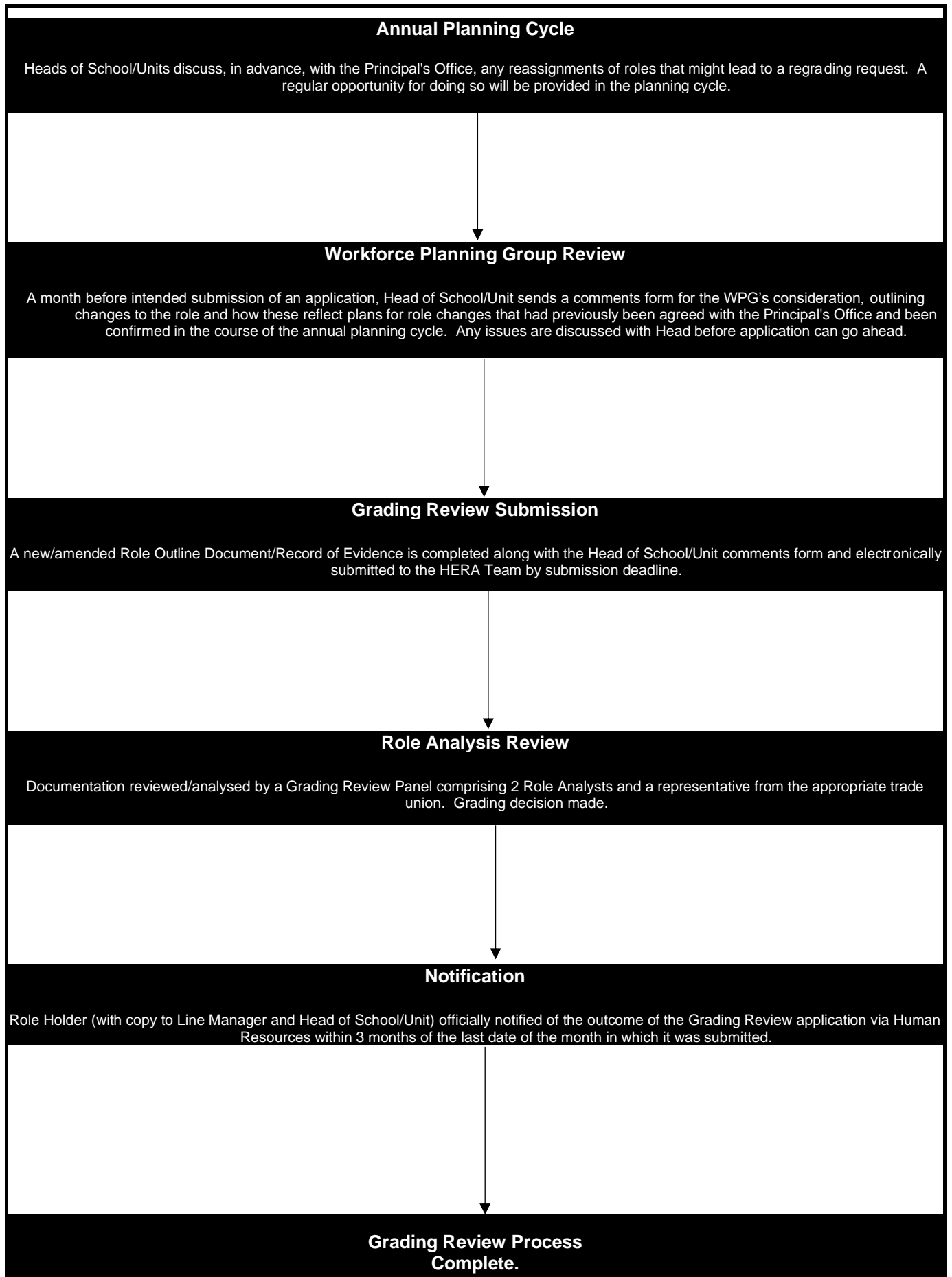
Signature:

Date:

**Thank you for taking the time to complete this document. Please be assured that the contents of the document will be used for role analysis purposes only and will be treated confidentially.**

**Return details can be found on Page 1 of this form.**

## Appendix C: Overview of Grading Review Process



## **Appendix D: Red-circle process**

Where the size/scope of a role has reduced as a result of restructuring, operational changes, the introduction of new technology etc., and the role is consequently evaluated at a lower grade through the grading review process, the University's red-circle policy will be implemented.

This policy aims to ensure that the needs of role holders who occupy red-circled posts are addressed in a fair, consistent and positive manner within the agreed protection period.

The protection period will be three years from the date specified in the grading review letter. During this time role holders will not receive annual increments until they cease to be red circled, they will, however, continue to receive the nationally agreed 'cost of living' increases.

### **1. Process**

When a role is identified as being red-circled, the initial focus will be on the development of the post, where this is possible, in an attempt to bring it back up to the expected grade. Where there are no opportunities for role development, or the development opportunities are uncertain, the role holder will be given the option\* to move to a post at the higher grade (either within or out with the School/Unit) if an appropriate one becomes available.

*\*Individuals in red-circled posts will be interviewed for any appropriate posts (as vacancies arise) before that post is advertised. If an individual is deemed not suitable for the vacant post, having considered reasonable training and support, justification from the Selection Committee must be provided to the Director of Human Resources.*

At the end of the three-year period, if no adjustments have been made, the role holder will move to the top of the grade in which their role has been placed through the grading review process.

### **2. Exceptions to the red-circle policy**

In certain situations, the reduction to the 'size' of a role (in terms of responsibilities/demands) may have been led by or be at the request of the individual undertaking the role. In such cases the red-circle protection policy will not apply. For example, a member of staff who is nearing retirement and who, in agreement with the School/Unit, has sought to reduce the scope of their role, will not be considered as a true 'red-circle' and as such this protection policy will not be implemented.

### **3. Review group**

A Review Group has been established to monitor the progress of red-circled role holders. The Review Group will comprise the Director of HR, the member of the Office of the Principal responsible for HR, and a member of the appropriate trade union. When it comes to monitoring role holders who are not members of a union, the relevant union representative should still form part of the Review Group to monitor these individuals. The remit of the Review Group will be to ensure that the role holder's needs are being addressed as urgently as possible in a fair, positive and reasonable fashion. Thus, if a situation arises whereby the role holder and their manager come to a difference of opinion, the Review Group will be asked to assist. If there is a realistic opportunity to increase the role, the University will do all it can to support the role holder.